

**UNITED STATES BANKRUPTCY COURT  
SOUTHERN DISTRICT OF NEW YORK**

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In re:

LEHMAN BROTHERS HOLDINGS, INC., *et al.*

Debtors.  
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X  
: Chapter 11  
:  
: Case No. 08-13555 (SCC)  
:  
: (Jointly Administered)  
:  
: Ref. Docket No. 53757 and  
54177  
X

**AFFIDAVIT OF SERVICE**

STATE OF NEW YORK     )  
                                  ) ss.:  
COUNTY OF NEW YORK    )

CATHERINE HENRIQUEZ, being duly sworn, deposes and says:

1. I am employed as a Noticing Coordinator by Epiq Bankruptcy Solutions, LLC, located at 777 Third Avenue, New York, New York 10017. I am over the age of eighteen years and am not a party to the above-captioned action.
2. On January 23, 2017, I caused to be served the "Notice of Defective Transfer," dated January 23, 2017, a sample of which is annexed hereto as Exhibit A, by causing true and correct copies to be enclosed securely in separate postage pre-paid envelopes and delivered via first class mail to those parties listed on the annexed Exhibit B.
3. All envelopes utilized in the service of the foregoing contained the following legend:  
"LEGAL DOCUMENTS ENCLOSED. PLEASE DIRECT TO THE ATTENTION OF ADDRESSEE, PRESIDENT OR LEGAL DEPARTMENT."

Sworn to before me this  
25<sup>th</sup> day of January, 2017  
/s/ Sidney J. Garabato  
Sidney J. Garabato  
Notary Public, State of New York  
No. 01GA6218946  
Qualified in New York County  
Commission Expires March 15, 2018

/s/ Catherine Henriquez  
Catherine Henriquez

## **EXHIBIT A**

In re

LEHMAN BROTHERS HOLDINGS INC., et al.,

Debtors.

Chapter 11 Case No.

08-13555 (SCC)

(Jointly Administered)

**NOTICE OF DEFECTIVE TRANSFER**

BAR(23) MAILID \*\*\* 000115962977 \*\*\*

LBH DEFTRFNTC (ADDRESS2, ADRKEYID3) 31745



HONGKONG AND SHANGHAI BANKING CORPORATION LTD, SINGAPORE BRANCH, THE  
ALLEN & OVERY LLP  
JOHN KIBLER JONATHAN CHO  
1221 AVENUE OF THE AMERICAS  
NEW YORK, NY 10020

HONGKONG AND SHANGHAI BANKING  
CORPORATION LTD, SINGAPORE BRANCH, THE  
TRANSFEROR: HSBC PRIVATE BANK (SUISSE) SA,  
SINGAPORE BRANCH  
ATTN: SARAH CHAN/DIRECTOR  
LEVEL 13 & 14  
HONG KONG  
HONG KONG

UBS AG  
ATTN: HUGO KOLLER  
BAHNHOFSTRASSE 45  
ZURICH 8001  
SWITZERLAND

**Your transfer of claim # 56671-18 is defective for the reason(s) checked below:**

Other STK Reclassified as Equity Interest

Docket Number 53757

Date: 10/07/2016

/s/ Lauren Rodriguez

EPIQ BANKRUPTCY SOLUTIONS, LLC

as claims agent for the debtor(s).

## **EXHIBIT B**

Claim Name	Address Information
COUTTS & CO AG	F/K/A RBS COUTTS BANK AG, LERCHENSTRASSE 18, 8045 ZURICH SWITZERLAND
EFG BANK AG	ATTN: LUCIE VILLETTE, 24, QUAI DU SEUJET CP 2391, GENEVE 1211 SWITZERLAND
HONGKONG AND SHANGHAI BANKING CORPORATION LTD, SINGAPORE BRANCH, THE	TRANSFEROR: HSBC PRIVATE BANK (SUISSE) SA, SINGAPORE BRANCH, ATTN: SARAH CHAN/DIRECTOR, LEVEL 13 & 14, HONG KONG HONG KONG
HONGKONG AND SHANGHAI BANKING CORPORATION LTD, SINGAPORE BRANCH, THE	ALLEN & OVERY LLP, JOHN KIBLER JONATHAN CHO, 1221 AVENUE OF THE AMERICAS, NEW YORK, NY 10020
HONGKONG AND SHANGHAI BANKING CORPORATION LTD, SINGAPORE BRANCH, THE	LAW OFFICES OF TALLY M. WIENER, ESQ., JTALLY M. WIENER, 119 WEST 72ND STREET, PMB 350, NEW YORK, NY 10023
UBS AG	ATTN: HUGO KOLLER, BAHNHOFSTRASSE 45, ZURICH 8001 SWITZERLAND

<b>Total Creditor Count 6</b>
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